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PTO/SB/21 (modified)

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Rev. 10/95

U.S. Department of Commerce  
Patent and Trademark Office

## TRANSMITTAL FORM

(to be used for all correspondence during pendency of  
filed application)

Application Number	09/834,171
Filing Date	April 12, 2001
First Named Inventor	Seth I. Merrin et al.
Group Art Unit Number	2164
Examiner Name	Kelly S. Scaggs

Total Number of Pages in This Submission

8

Attorney Docket Number 22172-05507

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### ENCLOSURES (check all that apply)

FEB 27 2002

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<input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
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<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ]
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
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<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References	<input checked="" type="checkbox"/> Request to Withdraw as Attorneys (in triplicate)
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/>
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input type="checkbox"/>
<input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/>
<input type="checkbox"/> Status Request	<input type="checkbox"/>
<input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/>

REMARKS:

### SIGNATURE OF ATTORNEY OR AGENT

Signature:			
Attorney/Reg. No.:	Brian M. Hoffman, Reg. No. 39,713	Dated:	January 29, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Non-Fee Amendment, Commissioner for Patents, Washington, DC 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature:			
Typed or Printed Name:	Brian M. Hoffman	Dated:	January 29, 2002
Express Mail Mailing Number (optional):			



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#7 PATENT

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANTS: Seth I. Merrin *et al.*

APPLICATION NO.: 09/834,171

FILING DATE: April 12, 2001

TITLE: ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION  
WITH ORDER MANAGEMENT SYSTEMS

EXAMINER: Kelly S. Scaggs

GROUP ART UNIT: 2164

ATTY. DKT. NO.: 22172-05507

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Dated: January 29, 2002

By:

Brian M. Hoffman, Reg. No. 39,713

BOX NON-FEE AMENDMENT  
COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

**REQUEST TO WITHDRAW AS ATTORNEYS**

SIR:

Pursuant to 37 CFR §§ 1.36 and 10.40, the attorneys of record listed below, on whose behalf the undersigned attorney has signed this request and on whose behalf the undersigned attorney is authorized to sign, respectfully request permission to withdraw as attorneys of record in the above-referenced patent application because applicants are transferring the case to alternate counsel.

☒ There is currently no outstanding official action known to the undersigned attorney dated prior to the date of this Request to Withdraw for which a response is now due to be filed.

☐ There is an outstanding term for response to an official action that is set to expire on \_\_\_\_\_. The above term is extendible under 37 CFR § 1.136(a), until \_\_\_\_\_.

- ☐ The client has been notified of the official action and of the deadline to respond to the official action.
- ☐ A response to the outstanding official action is attached.
- ☐ A petition for extension of time is requested and the fees for the extension are/are not being submitted.

The withdrawing attorneys of record are:



associated with Customer Number

00758



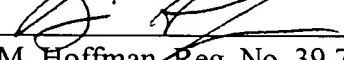
The attorneys of record listed above, on whose behalf the undersigned attorney has signed this request and on whose behalf the undersigned attorney is authorized to sign, respectfully request that all future correspondence regarding this application be addressed to:

Jeff Dickey  
Lerner, David, Littenberg, Krumholz & Mentlik, LLP  
600 South Avenue West  
Westfield, NJ 07090-1497

A copy of this Request is being sent to Liquidnet, Inc. This Request to Withdraw is being submitted in triplicate.

Respectfully submitted,  
SETH I. MERRIN *et al.*

Dated: January 29, 2002

By:   
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